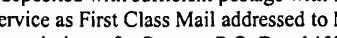




**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:	Examiner:	To Be Assigned
Yoshihide Senzaki		
Serial No.:	10/766,148	
Filing Date:	January 27, 2004	
<p><b>For: <i>Multilayer High K Dielectric Films and Method of Making the Same</i></b></p>		
<u><b>CERTIFICATE OF MAILING</b></u> I hereby certify that this correspondence and its listed enclosures is being deposited with sufficient postage with the United States Postal Service as First Class Mail addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>October 13, 2004</u> .		
Signed	 Kari Bateman	

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION  
FILED UNDER 37 C.F.R. 1.53(b)**

Mail Stop Missing Parts  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, Virginia 22313-1450

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application, Filed Under 37 C.F.R. 1.53(b), mailed June 18, 2004, enclosed are the following documents:

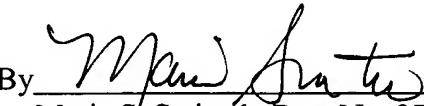
- 1) Transmittal (1 pg.);
  - 2) Fee Transmittal (1 pg.);
  - 3) Copy of Notice to File Missing Parts mailed June 18, 2004 (2 pgs.);
  - 4) Petition for Extension of Time – Two Months (1 pg.);
  - 5) Check for \$600.00: late declaration surcharge (\$130.00), recordation fee (40.00), and petition for two-months extension of time (\$430.00);
  - 6) Executed Declaration for Patent Application (37 C.F.R. § 1.63), (3 pgs.);
  - 7) Recordation Cover Sheet and executed Assignment (3 pg.);
  - 8) Executed Power of Attorney by Assignee and Exclusion of Inventor/s under 37 C.F.R. §1.32 and Statement under 37 C.F.R. § 3.73(b), (1 pg.);
  - 9) Letter to Draftsperson and 4 Sheets of Formal Drawings consisting of Figs. 1-5; &
  - 10) Return Postcard.

**Serial No.:** 10/766,148  
**Filing Date:** January 27, 2004

The Commissioner is hereby authorized to charge any additional fees, including extension fees, to Deposit Account 50-2319 [Order No. A-70028-2/MSS/TJH (463035-964)].

Respectfully submitted,

DORSEY & WHITNEY LLP

By   
Maria S. Swiatek, Reg. No. 37,244  
Attorney for Applicants

Customer No.: **32940**  
DORSEY & WHITNEY LLP  
Four Embarcadero Center - Suite 3400  
San Francisco, California 94111-4187  
Tel.: (650) 494-8700  
Fax: (650) 494-8771

PA-1079488

<p><b>TRANSMITTAL</b></p> <p><b>FORM</b></p> <p>(to be used for all correspondence after initial filing)</p>		Application No.	10/766,148
		Filing Date	January 27, 2004
		First Named Inventor	Yoshihide Senzaki
		Examiner Name	To Be Assigned
		Group Art Unit	2811
Total Number of Pages in This Submission	19	Attorney Docket No.	A-70028-2/MSS/TJH (463035-964)

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s) ( Figs. 1-5) and Cover Sheet to Draftsperson	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input checked="" type="checkbox"/> Petition for Extension of Time – Two Months (1 pg.)	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Executed Power of Attorney (1 pg.)	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Executed Declaration for Patent Application (3 pgs.), copy of Notice to File Missing Parts
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	mailed June 18, 2004 (2 pgs.), check no. <u>6834</u> in the amount of
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, No. of CD(s) _____	\$600.00, and self-addressed stamped Postcard.
<b>Remarks</b>		
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.53(b) (2 pgs.)		

#### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Maria S. Swiatek, Esq., Reg. No. 37,244 DORSEY & WHITNEY LLP 4 Embarcadero Center, Suite 3400 San Francisco, CA 94111 Telephone: 650-494-8700 Facsimile: 650-494-8771	Customer Number 32940
Signature		
Date	October 13, 2004	

#### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

Typed or printed name	Kari Bateman		
Signature		Date	October 13, 2004

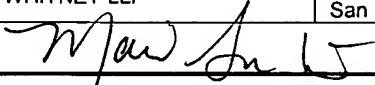
OCT 18 2004

**APPLICATION  
FEE TRANSMITTAL SHEET  
(FY 2004)**

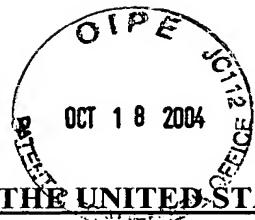
Complete if Known	
Application No.	10/766,148
Filing Date	January 27, 2004
First Named Inventor	Yoshihide Senzaki
Group Art Unit	2811
Examiner Name	To Be Assigned
Atty. Docket Number	A-70028-2/MSS/TJH (463035-964)

METHOD OF PAYMENT (Check One)			FEE CALCULATION (Continued)																																																																																																																																																																										
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: 50-2319 Deposit Account Name: DORSEY & WHITNEY LLP			<b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left; width: 15%;">Large Entity Fee</th> <th style="text-align: left; width: 15%;">Small Entity Fee</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee paid</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">50</td> <td style="text-align: center;">25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td style="text-align: center;">130</td> <td style="text-align: center;">65</td> <td>Surcharge - Late nonprovisional filing fee or oath</td> <td style="text-align: right;">130.00</td> </tr> <tr> <td style="text-align: center;">180</td> <td style="text-align: center;">180</td> <td>Submission of IDS</td> <td></td> </tr> <tr> <td style="text-align: center;">40</td> <td style="text-align: center;">40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td style="text-align: right;">40.00</td> </tr> <tr> <td colspan="4"><hr/></td> </tr> <tr> <td style="text-align: center;">110</td> <td style="text-align: center;">55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td style="text-align: center;">430</td> <td style="text-align: center;">215</td> <td>Extension for reply within second month</td> <td style="text-align: right;">430.00</td> </tr> <tr> <td style="text-align: center;">980</td> <td style="text-align: center;">490</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td style="text-align: center;">1,530</td> <td style="text-align: center;">765</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td style="text-align: center;">2,080</td> <td style="text-align: center;">1,040</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td style="text-align: center;">790</td> <td style="text-align: center;">395</td> <td>Submission After Final 1.129</td> <td></td> </tr> <tr> <td style="text-align: center;">340</td> <td style="text-align: center;">170</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td style="text-align: center;">340</td> <td style="text-align: center;">170</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td style="text-align: center;">300</td> <td style="text-align: center;">150</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td style="text-align: center;">110</td> <td style="text-align: center;">55</td> <td>Terminal Disclaimer Fee</td> <td></td> </tr> <tr> <td style="text-align: center;">130</td> <td style="text-align: center;">130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td style="text-align: center;">50</td> <td style="text-align: center;">50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td colspan="4"><hr/></td> </tr> <tr> <td style="text-align: center;">1,370</td> <td style="text-align: center;">685</td> <td>Utility/Reissue Issue Fee (including advance copies)</td> <td></td> </tr> <tr> <td style="text-align: center;">490</td> <td style="text-align: center;">245</td> <td>Design Issue Fee (inc. advance copies)</td> <td></td> </tr> <tr> <td style="text-align: center;">790</td> <td style="text-align: center;">395</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td style="text-align: center;">300</td> <td style="text-align: center;">300</td> <td>Publication fee for early, voluntary, or normal publication</td> <td></td> </tr> <tr> <td style="text-align: center;">300</td> <td style="text-align: center;">300</td> <td>Publication fee for re-publication</td> <td></td> </tr> <tr> <td style="text-align: center;">110</td> <td style="text-align: center;">55</td> <td>Petition to Revive - unavoidable</td> <td></td> </tr> <tr> <td style="text-align: center;">1,370</td> <td style="text-align: center;">685</td> <td>Petition to Revive - unintentional</td> <td></td> </tr> <tr> <td colspan="4"><hr/></td> </tr> <tr> <td colspan="3" style="text-align: center;">*Calculation of Extra Claim Fees</td> <td colspan="3"></td> </tr> <tr> <td style="text-align: left;">Large Entity Fee</td> <td style="text-align: left;">Small Entity Fee</td> <td style="text-align: left;"><u>Fee Description</u></td> <td colspan="3"></td> </tr> <tr> <td style="text-align: center;">18</td> <td style="text-align: center;">9</td> <td>Claims in excess of 20</td> <td colspan="3"></td> </tr> <tr> <td style="text-align: center;">88</td> <td style="text-align: center;">44</td> <td>Independent claims in excess of 3</td> <td colspan="3"></td> </tr> <tr> <td style="text-align: center;">300</td> <td style="text-align: center;">150</td> <td>Multiple dependent Claim</td> <td colspan="3"></td> </tr> <tr> <td style="text-align: center;">88</td> <td style="text-align: center;">44</td> <td>Reissue independent claims over original patent</td> <td colspan="3"></td> </tr> <tr> <td style="text-align: center;">18</td> <td style="text-align: center;">9</td> <td>Reissue claims in excess of 20 and over original patent</td> <td colspan="3"></td> </tr> <tr> <td colspan="3"></td> <td colspan="3" style="text-align: center;">OTHER FEE (specify):</td> </tr> <tr> <td colspan="3"></td> <td colspan="3" style="text-align: center;">Subtotal (3) \$600.00</td> </tr> <tr> <td colspan="3"></td> <td colspan="3" style="text-align: center;">Total Amount of Payment: \$600.00</td> </tr> </tbody> </table>			Large Entity Fee	Small Entity Fee	Fee Description	Fee paid	50	25	Surcharge - late provisional filing fee or cover sheet		130	65	Surcharge - Late nonprovisional filing fee or oath	130.00	180	180	Submission of IDS		40	40	Recording each patent assignment per property (times number of properties)	40.00	<hr/>				110	55	Extension for reply within first month		430	215	Extension for reply within second month	430.00	980	490	Extension for reply within third month		1,530	765	Extension for reply within fourth month		2,080	1,040	Extension for reply within fifth month		790	395	Submission After Final 1.129		340	170	Notice of Appeal		340	170	Filing a brief in support of an appeal		300	150	Request for oral hearing		110	55	Terminal Disclaimer Fee		130	130	Petitions to the Commissioner		50	50	Petitions related to provisional applications		<hr/>				1,370	685	Utility/Reissue Issue Fee (including advance copies)		490	245	Design Issue Fee (inc. advance copies)		790	395	Request for Continued Examination (RCE)		300	300	Publication fee for early, voluntary, or normal publication		300	300	Publication fee for re-publication		110	55	Petition to Revive - 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Submitted by:

Name: Maria S. Swiatek	Reg. No.: 37,244	Telephone: 650-494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187	Customer Number 32940
Signature: 		Date: October 13, 2004

PATENT



Docket No.: A-70028-2/MSS/TJH (463035-964)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

*In re* application of:

**Yoshihide Senzaki**

Serial No: **10/766,148**

Filed: **January 27, 2004**

Title: ***Multilayer High-k Dielectric Films  
and Method of Making the Same***

Examiner: **Unassigned**

Art Unit No: **2811**

San Francisco, Ca 94111

Date: **October 13 2004**

**SUBMISSION OF FORMAL DRAWINGS**

Commissioner for Patents  
**Attention: Official Draftsperson**  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed herewith are four (4) sheets of formal drawings consisting of Figs. 1-5 for the above-identified patent application.

The Commissioner is authorized to charge any underpayment of fees or credit any overpayment to counsel's Deposit Account No. 50-2319 (A-70028-2/MSS (463035-964)).

Respectfully submitted,

Date: October 13, 2004  
By: Maria S. Swiatek  
Maria S. Swiatek  
Reg. No. 37,244

Customer No.: **32940**  
DORSEY & WHITNEY LLP  
Four Embarcadero Center, Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (650) 494-8700  
Facsimile: (650) 494-8771



**UNITED STATES PATENT AND TRADEMARK OFFICE**

OCT 18 2004

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
[www.uspto.gov](http://www.uspto.gov)

*IFN#*

APPLICATION NUMBER	FILED OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/766,148 <i>TM</i>	01/27/2004	Yoshihide Senzaki	A-70028-2/MSS/TJH

**CONFIRMATION NO. 1972**

**FORMALITIES LETTER**



\*OC000000012986134\*

32940  
DORSEY & WHITNEY LLP  
INTELLECTUAL PROPERTY DEPARTMENT  
4 EMBARCADERO CENTER  
SUITE 3400  
SAN FRANCISCO, CA 94111

Date Mailed: 06/18/2004

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

**Items Required To Avoid Abandonment:**

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$65** for a Small Entity

- **\$65** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

Alice Resfarge

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE